

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Edward William ADAMS ET AL.

Divisional of Serial No.: 09/841,237

Group Art Unit: Unassigned

Filing Date: Concurrently herewith

Examiner: Unassigned

Title: METHOD FOR PREPARING SURFACE-MODIFIED SEMICONDUCTIVE AND
METALLIC NANOPARTICLES HAVING ENHANCED DISPERSIBILITY IN
AQUEOUS MEDIA

INFORMATION DISCLOSURE STATEMENT

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This is an Information Disclosure Statement submitted for the Examiner's consideration. Applicants respectfully request that the Examiner review and make of record the references identified below.

The references identified below were disclosed and/or cited in parent application Serial No. 09/841,237, filed April 23, 2001, and, as such, copies thereof are not included pursuant to the provisions of 37 CFR § 1.98(d).

PTO-1449 form listing the references accompany this paper. Applicants would appreciate the Examiner's initialing and returning the forms to indicate that the references have been reviewed and made of record. The references are as follows:

U.S. PATENT DOCUMENTS		
Document No.	Issue Date / Publication Date	Patentee / Applicant
4,138,381	2/6/79	Chang et al.
4,504,618	3/12/85	Irvine et al.
4,715,986	12/87	Gruning et al.
5,110,505	5/5/92	Herron et al.
5,587,446	12/24/96	Frechet et al.
5,990,479	11/23/99	Weiss et al.
6,007,845	12/99	Domb et al.
6,048,616	4/11/00	Gallagher et al.
6,150,459	11/21/00	Mayes et al.
6,162,456	12/19/00	Dunbar et al.

U.S. PATENT DOCUMENTS		
Document No.	Issue Date / Publication Date	Patentee / Applicant
6,322,901	12/01	Bawendi et al.
6,326,144	12/01	Bawendi et al.
6,333,110	12/01	Barbera-Guillem
6,342,625	1/02	Kwetkat et al.
6,444,143	9/02	Bawendi et al.
6,468,808	10/02	Nie et al.

FOREIGN PATENT DOCUMENTS		
Document No.	Publication Date	Country
WO 99/50916	10/7/99	PCT
WO 00/17642	3/30/00	PCT
WO 00/17655	3/30/00	PCT
WO 00/17656	3/30/00	PCT
WO 00/29617	5/25/00	PCT


OTHER DOCUMENTS
ANTONIETTI et al. (1997), "Amphiphilic Derivatives of Poly(Acrylic Acid) as Stabilizer in Emulsion Polymerisation," <i>Macromol. Rapid Commun.</i> <u>18</u> :295-302.
BRUST et al. (1995), "Synthesis and Reactions of Functionalised Gold Nanoparticles," <i>J. Chem. Soc., Chem. Commun.</i> , pp. 1655-1656.
CARROT et al. (1999), "Synthesis and Characterization of Nanoscopic Entities Based on Poly(Caprolactone)-Grafted Cadmium Sulfide Nanoparticles," <i>Chem. Mater.</i> <u>11</u> (12):3571-3577.
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JOHNSON et al. (1998), "Influence of a Terminal Functionality on the Physical Properties of Surfactant-Stabilized Gold Nanoparticles," <i>Langmuir</i> <u>14</u> (23):6639-6647.
KUMAR et al. (2000), "Phase Transfer of Aqueous CdS Nanoparticles by Coordination with Octadecanethiol Molecules Present in Nonpolar Organic Solvents," <i>Langmuir</i> <u>16</u> (24):9299-9302.
LEFF et al. (1996), "Synthesis and Characterization of Hydrophobic, Organically-Soluble Gold Nanocrystals Functionalized with Primary Amines," <i>Langmuir</i> <u>12</u> (20):4723-4730.
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MOFFITT et al. (1998), "Spherical Assemblies of Semiconductor Nanoparticles in Water-Soluble Block Copolymer Aggregates," <i>Chem. Mater.</i> <u>10</u> (4):1021-1028.
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OTHER DOCUMENTS
PREMACHANDRAN et al. (1997), "The Enzymatic Synthesis of Thiol-Containing Polymers to Prepare Polymer-CdS Nanocomposites," <i>Chem. Mater.</i> <u>9</u> (6):1342-1347.
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SCHALLER et al. (1999), "Synthesis and Properties of Hydrophobically Modified Water-Borne Polymers for Pigment Stabilization," <i>Progress in Organic Coatings</i> <u>35</u> :63-67.
SHEN et al. (1999), "Bilayer Surfactant Stabilized Magnetic Fluids: Synthesis and Interactions at Interfaces," <i>Langmuir</i> <u>15</u> (2):447-453.
SIDOROV et al. (1999), "Stabilization of Metal Nanoparticles in Aqueous Medium by Polyethyleneoxide-Polyethyleneimine Block Copolymers," <i>Journal of Colloid and Interface Science</i> <u>212</u> :197-211.
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TRIBET et al. (1997), "Stabilization of Hydrophobic Colloidal Dispersions in Water with Amphiphilic Polymers: Application to Integral Membrane Proteins," <i>Langmuir</i> <u>13</u> (21):5570-5576.
WANG et al. (1999), "Synthesis of Polycarbonate-co-Poly(<i>p</i> -Ethylphenol) and CdS Nanocomposites," <i>Journal of Applied Polymer Science</i> <u>72</u> :1851-1868.

This Information Disclosure Statement is not intended as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any of the above references constitutes prior art to the present application within the meaning of 35 USC § 102.

As this Information Disclosure Statement is being filed concurrently with the application, no fee is required.

Respectfully submitted,

By: 
Dianne E. Reed
Registration No. 31,292

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	DIV of Serial No. 09/841,237
				Filing Date	Concurrently herewith
				First Named Inventor	Edward William ADAMS et al.
				Art Unit	Unassigned
				Examiner Name	Unassigned
Sheet	1	of	2	Attorney Docket Number	7725-0001.10

U.S. PATENT DOCUMENTS							
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	AA	4,138,381	2/6/79	Chang et al.			
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OTHER DOCUMENTS — NONPATENT LITERATURE DOCUMENTS					T
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), Title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			
	AW	ANTONIETTI et al. (1997), "Amphiphilic Derivatives of Poly(Acrylic Acid) as Stabilizer in Emulsion Polymerisation," <i>Macromol. Rapid Commun.</i> 18:295-302.			
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Examiner Signature		Date Considered	
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